

## DEPARTMENT OF REGULATION AND LICENSING

### GOVERNOR'S BUDGET RECOMMENDATIONS

Source of Funds	FY03 Adjusted Base	FY04 Recommended	% Change Over FY03	FY05 Recommended	% Change Over FY04
PR-O	11,660,200	11,980,900	2.8	11,980,900	0.0
TOTAL	11,660,200	11,980,900	2.8	11,980,900	0.0

### FULL-TIME EQUIVALENT POSITION SUMMARY

Source of Funds	FY03 Adjusted Base	FY04 Recommended	FTE Change From FY03	FY05 Recommended	FTE Change From FY04
PR-O	135.50	125.50	-10.00	125.50	0.00
TOTAL	135.50	125.50	-10.00	125.50	0.00

### AGENCY DESCRIPTION

A secretary who serves at the pleasure of the Governor heads the department. The department provides policy coordination and centralized administrative services for 24 boards, and oversees the regulation of 115 professions, 9 councils, 20 advisory committees and approximately 300,000 licensees.

The department is comprised of four divisions: the Division of Professional Credentialing is responsible for all application processing including determination of credential eligibility; the Division of Board Services is responsible for providing support to regulatory boards, including administrative support, consultation about continuing education and examination requirements for regulated professions; the Division of Management Services provides basic services such as budget, accounting, credential renewal, information technology and human resources; and the Division of Enforcement provides complaint investigations and prosecution services. Legal services and administrative hearings are directed through the secretary's office.

Most boards attached to the department have independent responsibility to regulate specific professions.

Department and board operations are funded through credential application, renewal and examination fees. A fee schedule for the application and renewal of all credentials is set by statute and examination fees are set by statute and administrative rule.

### MISSION

The mission of the department is to provide professional, quality services to members of occupations and professions regulated by the state in order to safeguard consumer health, safety and well-being.

## PROGRAMS, GOALS, OBJECTIVES AND ACTIVITIES

### Program 1: Professional Regulation

Goal: Credentialing authorities will set appropriate eligibility, education, examination and experience requirements and make this information readily available to users of our services.

Objective/Activity: Provide ongoing assessment, consultation and assistance to the boards to assure there is consistency and effectiveness in the eligibility process and continuing education process where applicable.

Objective/Activity: Utilize technology to facilitate the credentialing process through use of the department's Web site, i.e., on-line credential renewal and an interactive voice response system.

Objective/Activity: Provide on-line access to licensing applications and code books.

Objective/Activity: Acquire legislative authority to promulgate uniform rules for approving continuing education programs.

Objective/Activity: Represent Wisconsin's interests on national regulatory service agencies by attending meetings and responding to issue surveys.

Objective/Activity: Create valid and reliable examinations for new professions and update existing examinations at least every five years.

Objective/Activity: Develop a survey to evaluate examination services from outside vendors and conduct on-site performance audits once every three years.

Goal: The Credentialing Authority will set and maintain minimal, essential practice standards to provide safe and effective services for consumers while weighing the effectiveness and need for changes in the profession brought about by new technology.

Objective/Activity: Review and refine a flowchart designating steps in the rule-making process within the department that identifies responsibilities of the various participants.

Objective/Activity: Plan and produce the regulatory digests adhering to established printing schedules.

Objective/Activity: Ensure that regulatory digests are accessible through the department's Web site.

Objective/Activity: Develop the capacity to provide E-mail versions of the regulatory digest to subscribers.

Objective/Activity: Keep board members informed of current developments, data, trends, legal opinions and issues related to board responsibilities.

Objective/Activity: Continue publication of *Open Session*, the in-house newsletter for staff and board members.

Goal: The department and regulatory authorities will appropriately resolve complaints and discipline credential holders who demonstrate incompetence and engage in unprofessional conduct by violating professional standards. All legal matters will be handled using due process.

Objective/Activity: Conduct monthly reviews to monitor the screening, investigation/mediation procedures, legal action and hearing stages of complaints in accordance with the department's time line policy.

Objective/Activity: Develop a manual that identifies the roles, functions and procedures of enforcement staff.

Objective/Activity: Perform inspections of business establishments and entities based on applicable laws and rules and use data collections from these inspections to pursue legislation for self-inspections.

Objective/Activity: Prepare annual reports showing the number and nature of disciplinary actions. This information will also be accessible on the department's Web site.

Objective/Activity: Develop a written description of the team complaint handling process.

**PERFORMANCE MEASURES**

HISTORICAL DATA

Prog. No.	Performance Measure	Actual 2000
1.	On-line renewal of credential holders via the Web site.	0%
1.	Number of pending cases in the complaint handling process.	1049
1.	Conversion of licensing examinations to computer-based testing.	3
1.	Inspections of business establishments and entities to ensure compliance with the statutes and administrative rules.	135

Note: Based on fiscal year.

2001 AND 2002 GOALS AND ACTUALS

Prog. No.	Performance Measure	Goal 2001	Actual 2001	Goal 2002	Actual 2002
1.	On-line renewal of credential holders via the Web site.	3%	2%	10%	0%
1.	Number of pending cases in the complaint handling process.	1025	1320	1000	1549
1.	Conversion of licensing examinations to computer-based testing.	1	0	0	0
1.	Inspections of business establishments and entities to ensure compliance with the statutes and administrative rules.	140	135	145	230

Note: Based on fiscal year.

## 2003, 2004 AND 2005 GOALS

Prog. No.	Performance Measure	Goal 2003	Goal 2004	Goal 2005
1.	On-line renewal of credential holders via the Web site.	20%	10%	30%
1.	Number of pending cases in the complaint handling process.	1025	1000	975
1.	Conversion of licensing examinations to computer-based testing.	2	3	5
1.	Inspections of business establishments and entities to ensure compliance with the statutes and administrative rules.	150	275	290

Note: Based on fiscal year.

## **DEPARTMENT OF REGULATION AND LICENSING**

### **GOVERNOR'S BUDGET RECOMMENDATIONS**

#### **RECOMMENDATIONS**

1. Budget Efficiency Measures
2. Program and Segregated Revenue Lapses
3. External Examinations
4. Standard Budget Adjustments

#### **ITEMS NOT APPROVED**

5. Staff for Newly Regulated Professions

**Table 1**  
**Department Budget Summary by Funding Source (in thousands of dollars)**

	ACTUAL FY02	ADJUSTED BASE FY03	AGENCY REQUEST		GOVERNOR'S RECOMMENDATION	
			FY04	FY05	FY04	FY05
PROGRAM REVENUE (2)	\$10,934.8	\$11,660.2	\$12,047.6	\$12,067.8	\$11,980.9	\$11,980.9
State Operations	10,934.8	11,660.2	12,047.6	12,067.8	11,980.9	11,980.9
TOTALS-ANNUAL	10,934.8	11,660.2	12,047.6	12,067.8	11,980.9	11,980.9
State Operations	10,934.8	11,660.2	12,047.6	12,067.8	11,980.9	11,980.9

(2) Includes Program Revenue-Service and Program Revenue-Other

**Table 2**  
**Department Position Summary by Funding Source (in FTE positions) (4)**

	ADJUSTED BASE FY03	AGENCY REQUEST		GOVERNOR'S RECOMMENDATION	
		FY04	FY05	FY04	FY05
PROGRAM REVENUE (2)	135.50	137.25	137.25	125.50	125.50
TOTALS-ANNUAL	135.50	137.25	137.25	125.50	125.50

(2) Includes Program Revenue-Service and Program Revenue-Other

(4) All positions are State Operations unless otherwise specified

**Table 3**  
**Department Budget Summary by Program (in thousands of dollars)**

	ACTUAL FY02	ADJUSTED BASE FY03	AGENCY REQUEST		GOVERNOR'S RECOMMENDATION	
			FY04	FY05	FY04	FY05
1. Professional regulation	\$10,934.8	\$11,660.2	\$12,047.6	\$12,067.8	\$11,980.9	\$11,980.9
TOTALS	10,934.8	11,660.2	12,047.6	12,067.8	11,980.9	11,980.9

**Table 4**  
**Department Position Summary by Program (in FTE positions) (4)**

	ADJUSTED BASE FY03	AGENCY REQUEST		GOVERNOR'S RECOMMENDATION	
		FY04	FY05	FY04	FY05
1. Professional regulation	135.50	137.25	137.25	125.50	125.50
TOTALS	135.50	137.25	137.25	125.50	125.50

(4) All positions are State Operations unless otherwise specified

**1. Budget Efficiency Measures**

Source of Funds	Agency Request				Governor's Recommendation			
	FY04		FY05		FY04		FY05	
	Dollars	Positions	Dollars	Positions	Dollars	Positions	Dollars	Positions
PR-O	0	0.00	0	0.00	0	-10.00	0	-10.00
TOTAL	0	0.00	0	0.00	0	-10.00	0	-10.00

The Governor recommends reducing expenditure and position authority in the department's state operations appropriations in the amounts shown to create additional operational efficiencies and to balance the budget. The Governor further recommends reallocating the salary and fringe benefits savings from these positions to the supplies and services line to aid in the improvement of the department's information technology environment.

**2. Program and Segregated Revenue Lapses**

The Governor recommends transferring balances to the general fund from the following appropriation:  
 (a) \$1,996,900 PR in each year from s. 20.165(1)(g).

**3. External Examinations**

Source of Funds	Agency Request				Governor's Recommendation			
	FY04		FY05		FY04		FY05	
	Dollars	Positions	Dollars	Positions	Dollars	Positions	Dollars	Positions
PR-O	100,000	0.00	100,000	0.00	90,000	0.00	90,000	0.00
TOTAL	100,000	0.00	100,000	0.00	90,000	0.00	90,000	0.00

The Governor recommends increasing expenditure authority to meet increased costs associated with the external administration of tests or exams needed to obtain a credential through the department.

**4. Standard Budget Adjustments**

Source of Funds	Agency Request				Governor's Recommendation			
	FY04		FY05		FY04		FY05	
	Dollars	Positions	Dollars	Positions	Dollars	Positions	Dollars	Positions
PR-O	230,700	0.00	230,700	0.00	230,700	0.00	230,700	0.00
TOTAL	230,700	0.00	230,700	0.00	230,700	0.00	230,700	0.00

The Governor recommends adjusting the department's base budget for: (a) turnover reduction (-\$162,400 in each year); (b) full funding of continuing position salaries and fringe benefits (\$316,800 in each year); (c) overtime (\$5,100 in each year); (d) night and weekend differential pay (\$400 in each year); and (e) fifth week of vacation as cash (\$70,800 in each year).

**ITEMS NOT APPROVED**

The following requests are not included in the Governor's budget recommendations for the Department of Regulation and Licensing.

Decision Item	Source of Funds	FY04		FY05	
		Dollars	Positions	Dollars	Positions
5. Staff for Newly Regulated Professions	PR-O	56,700	1.75	76,900	1.75
TOTAL OF ITEMS NOT APPROVED	PR-O	56,700	1.75	76,900	1.75